

**Charlotte Woodward**

**From:** LDN-SECOPS-MB <secops@edfmancapital.com>  
**Sent:** 23 April 2014 16:31  
**To:** LDN-EQUITYFINANCE-REPORTING-MB  
**Attachments:** ATT00001.bin

Trade Reference 253741

E D & F Man Capital Markets Limited  
 Cottons Centre, Hay's Lane, London, SE1 2QE  
 Tel 0207 089 8000

Trade Date: 23/04/2014  
 Settlement Date: 29/04/2014  
 Customer: The Goldstein Law Group PC 401(K) Profit Sharing Plan FBO Sheldon and Scott Goldstein  
 Broker: ED&F Man Capital Markets Ltd  
 Trade Type: Buy  
 Sec Desc: D/S NORDEN  
 ISIN: DK0060083210  
 Gross Price: 223.407790  
 Net Price: 223.407790  
 Quantity: 215,000  
 Settlement Method: DNI  
 Net Cash: 48,032,674.85  
 Currency: DKK  
 Comments: External Sequence: EQ30946-113450 Execution Time: Wednesday April 23,2014 12:00:00 AM Batch Id: 20140423\_020274  
 Commission:

All trades are conducted off-exchange. Information regarding the type of order given by you and whether we have used an affiliate to facilitate execution and/or settlement are available on request. Time Stamps are GMT

This transaction has been undertaken in accordance with E D & F Man Capital Markets Limited Terms of Business and Execution Policy. A copy of this policy is available from E D & F Man Capital Markets Limited and its affiliates, may receive monetary remuneration for directing order flow to particular broker/dealer or market centres for execution. When such remuneration is received, it is considered compensation to E D & F Man Capital Markets Limited or its affiliates. The source and amount of any compensation received will be disclosed.

Should you have any issue related to this confirm please contact our settlements Dept:

Tel: +44 (0) 20 3580 7234  
 Email: secops@edfmancapital.com

E D & F Man Capital Markets Limited is authorised and regulated by the Financial Services Authority Registered in England No. 194926

**Charlotte Woodward**

**From:** LDN-SECOPS-MB <secops@edfmancapital.com>  
**Sent:** 23 April 2014 16:48  
**To:** LDN-EQUITYFINANCE-REPORTING-MB  
**Attachments:** ATT00001.bin

**Trade Reference 253568**

E D & F Man Capital Markets Limited  
 Cottons Centre, Hay's Lane, London, SE1 2QE  
 Tel 0207 089 8000

Trade Date: 23/04/2014  
 Customer: The Goldstein Law Group PC 401(K) Profit Sharing Plan FBO Sheldon and Scott Goldstein  
 Broker: ED&F Man Capital Markets Ltd  
 Customer Trade Type: Sell  
 Sec Desc: NYF15MAY2014BCLEAR  
 Exchange: LIFFE  
 Price: 219.42  
 Quantity: 2,150  
 Currency: DKK  
 Comments: External Sequence: EQ30943-113444 Execution Time: Wednesday April 23,2014 12:00:00 AM Batch Id: 20140423\_020269  
 Direct Commission: 0.00

All trades are conducted off-exchange. Information regarding the type of order given by you and whether we have used an affiliate to facilitate execution and/or settlement are available on request. Time Stamps are GMT

This transaction has been undertaken in accordance with E D & F Man Capital Markets Limited Terms of Business and Execution Policy. A copy of this policy is available from E D & F Man Capital Markets Limited and its affiliates, may receive monetary remuneration for directing order flow to particular broker/dealer or market centres for execution. When such remuneration is received, it is considered compensation to E D & F Man Capital Markets Limited or its affiliates. The source and amount of any compensation received will be disclosed.

Should you have any issue related to this confirm please contact our Settlements Dept:

Tel: +44 (0) 20 3580 7234  
 Email: secops@edfmancapital.com

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**Charlotte Woodward**

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**From:** GOODWIN, Richard (CH Volcafe) <RGOODWIN@volcafe.ch>  
**Sent:** 23 April 2014 10:22  
**To:** BOTTOMLEY, Oliver (Capital Markets)  
**Subject:** Confirm DNORD DC 860,000 T+4  
**Attachments:** 23042014NDORDDC(MCM1).pdf

Oliver:

**Volcafe Cash Equity Confirmation**

<b>Trade Date</b>	23-Apr	
<b>Value Date</b>	29-Apr	
<b>ED&amp;F Man Capital Markets Trader</b>	<b>BUYS</b> OLIVER BOTTOMLEY	
<b>Stock</b>	<b>D/S NORDEN</b> DNORD DC Equity	
<b>ISIN</b>	DK0060083210	
<b>Number Shares</b>	<b>860,000</b>	
<b>Splits</b>	1 x 325,000 1 x 535,000	
<b>CCY</b>	DKK	
<b>Gross Price</b>	223.40500	
<b>Total Notional</b>		192,128,300.00
<b>Net Price</b>	<b>223.40779</b>	
<b>Total Net Notional</b>		192,130,699.40
<b>Invoice at month End Brokerage</b>	<b>NA</b>	2,399.40 DKK
<b>Additional information:</b>	<b>Clearing BNP #1</b>	
<b>Volcafe Clearing</b>	ICBC	

Best regards,

Richard Goodwin.



Volcafe Ltd,  
Technoparkstrasse 7, CH8406, Winterthur, Switzerland  
Office: +41 52 264 94 56, Mobile: +41 79 961 04 69  
[rgoodwin@volcafe.ch](mailto:rgoodwin@volcafe.ch) | [www.volcafe.com](http://www.volcafe.com)



## Volcafe Cash Equity Confirmation

Trade Date	23-Apr	Trade Time	
Value Date	29-Apr	11:09:20	
		C.E.T	
ED&F Man Capital Markets Trader	BUYS OLIVER BOTTOMLEY		
Stock	D/S NORDEN DNORD DC Equity		
ISIN	DK0060083210		
Number Shares	860,000		
Splits	1 x 325,000 1 x 535,000		
CCY	DKK		
Gross Price	223.40500		
Total Notional		192,128,300.00	
Net Price	223.40779		
Total Net Notional		192,130,699.40	
Invoice at month End	NA		
Brokerage		2,399.40 DKK	
Additional information:	Clearing BNP #1		
Volcafe Clearing	ICBC		

Best regards,

Richard Goodwin.

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Volcafe Ltd, Technoparkstrasse 7, CH-8406 Winterthur, Switzerland  
rgoodwin@volcafe.ch +41 52 264 94 94

ED&amp;F-00076769



**Charlotte Woodward**

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**From:** GOODWIN, Richard (Volcafe) <rgoodwin@volcafe.ch>  
**Sent:** 23 April 2014 10:21  
**To:** Henstock, Chris (DUB)  
**Cc:** Mina, Sara (LDN); Foster, Victoria (LDN)  
**Subject:** Confirm DNORD DC 860,000 T+4  
**Attachments:** 23042014NDORDDC(EDFDubai1).pdf

Chris:

### Volcafe Cash Equity Confirmation

<b>Trade Date</b>	23-Apr	
<b>Value Date</b>	29-Apr	
<b>ED&amp;F MCM obo ED&amp;F Man Professional Trading Dubai Trader</b>	<b>SELLS</b> CHRIS HENSTOCK	
<b>Stock</b>	<b>D/S NORDEN</b> DNORD DC Equity	
<b>ISIN</b>	DK0060083210	
<b>Number Shares</b>	860,000	
<b>Splits</b>	1 x 325,000 1 x 535,000	
<b>CCY</b>	DKK	
<b>Gross Price</b>	223.40500	
<b>Notional</b>		192,128,300.00
<b>Net Price</b>	223.40500	
<b>Net Notional</b>		192,128,300.00
<b>Invoice at month End</b>	NA	
<b>Additional information:</b>	<b>Clearing JP Morgan #3</b>	
<b>Volcafe Clearing</b>	ICBC	

Best regards,

Richard Goodwin.



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Technoparkstrasse 7, CH8406, Winterthur, Switzerland  
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[rgoodwin@volcafe.ch](mailto:rgoodwin@volcafe.ch) | [www.volcafe.com](http://www.volcafe.com)



## Volcafe Cash Equity Confirmation

Trade Date	23-Apr	Trade Time
Value Date	29-Apr	11:09:20
		C.E.T
ED&F MCM obo ED&F Man Professional Trading Dubai Trader	SELLS CHRIS HENSTOCK	
Stock	D/S NORDEN DNORD DC Equity	
ISIN	DK0060083210	
Number Shares	860,000	
Splits	1 x 325,000 1 x 535,000	
CCY	DKK	
Gross Price	223.40500	
Notional		192,128,300.00
Net Price	223.40500	
Net Notional		192,128,300.00
Invoice at month End	NA	
Additional information:	Clearing JP Morgan #3	
Volcafe Clearing	ICBC	

Best regards,

Richard Goodwin.

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Volcafe Ltd, Technoparkstrasse 7, CH-8406 Winterthur, Switzerland  
rgoodwin@volcafe.ch +41 52 264 94 94

ED&amp;F-00076772



**Charlotte Woodward**

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**From:** Schofield, Paul (LDN) <pschofield@edfmancapital.com>  
**Sent:** 23 April 2014 10:10  
**To:** Henstock, Chris (DUB)  
**Cc:** Mina, Sara (LDN); Regan, Paul (LDN); Liddard, Ross (LDN); Schofield, Paul (LDN)  
**Subject:** 8,600 NYF Bclear confirm - ED&F DUBAI

Hi,

To confirm ED&F DUBAI (ECM LEQ HI002) BUY the following:

8,600 NYF 15May2014 Bclear @ 219.42 (Ref: 223.405)

Commission: DKK 2,359

Thanks,  
P

Paul Schofield

Senior Equity Finance Broker

<<http://www.derivatives-broker.com/>>

ED&F Man Capital Markets

Cottons Centre, Hays Lane, London, SE1 2QE

Direct: +44 (0)20 3580 7637

Mob: +44 (0)7810 543272

senblatt work product: extracts of shadow data

Firm	DateBasis	Sequence	ExtRefID	TradeDate	EntryDate	SettlementDate	TradeAccount	Product	AssetAlias1	Currency	Ticket	Transaction	Quantity	Proceeds	FinalPrice	Asset	MasterAccount
E1	TRD	252620	EQ30894-113322	23/04/2014	2014-04-23 00:00:00.000	29/04/2014	1020010EDFDUBEDFDU	EQUITY	DK0060083210	DKK	ORG	BUY	325,000	72606625.00	223.4050000000	DNORD DC	1020010EDFDUBEDFDU
E1	TRD	252620	EQ30894-113322	23/04/2014	2014-04-23 00:00:00.000	29/04/2014	1020035VOLCAFCBCO	EQUITY	DK0060083210	DKK	ORG	SEL	325,000	72606625.00	223.4050000000	DNORD DC	1020035VOLCAFCBCO
E1	TRD	256966	EQ30907-113360	23/04/2014	2014-04-28 00:00:00.000	29/04/2014	1020010EDFDUBEDFDU	EQUITY	DK0060083210	DKK	REP	BUY	535,000	119521675.00	223.4050000000	DNORD DC	1020010EDFDUBEDFDU
E1	TRD	256966	EQ30907-113360	23/04/2014	2014-04-28 00:00:00.000	29/04/2014	1020035VOLCAFCBCO	EQUITY	DK0060083210	DKK	REP	SEL	535,000	119521675.00	223.4050000000	DNORD DC	1020035VOLCAFCBCO
E1	TRD	256964	EQ30907-113361	23/04/2014	2014-04-28 00:00:00.000	29/04/2014	1020035VOLCAFCBCO	EQUITY	DK0060083210	DKK	REP	BUY	535,000	119523167.65	223.4077900000	DNORD DC	1020035VOLCAFCBCO
E1	TRD	252621	EQ30894-113325	23/04/2014	2014-04-23 00:00:00.000	29/04/2014	1020035VOLCAFCBCO	EQUITY	DK0060083210	DKK	ORG	BUY	325,000	72607531.75	223.4077900000	DNORD DC	1020035VOLCAFCBCO
E1	TRD	253741	EQ30946-113450	23/04/2014	2014-04-23 00:00:00.000	29/04/2014	1020010GOLDSTLAWGP	EQUITY	DK0060083210	DKK	ORG	SEL	215,000	48032674.85	223.4077900000	DNORD DC	1020010GOLDSTLAWGP
E1	TRD	253742	EQ30946-113452	23/04/2014	2014-04-23 00:00:00.000	29/04/2014	1020010LINDENADBPL	EQUITY	DK0060083210	DKK	ORG	SEL	322,500	72049012.28	223.4077900000	DNORD DC	1020010LINDENADBPL
E1	TRD	253743	EQ30946-113453	23/04/2014	2014-04-23 00:00:00.000	29/04/2014	1020010RIVERSASSOC	EQUITY	DK0060083210	DKK	ORG	SEL	322,500	72049012.28	223.4077900000	DNORD DC	1020010RIVERSASSOC

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ED&amp;F-00076774

## SWIFT Message Detail

Message ID 3120315

Retu

## SWIFT Information

## Msg Type

545

## Status

Closed

## Related Ref

N/A

## Transaction Ref

PG42808Y2A001

## Asset Series

291302

## Reason Code

N/A

## Trailer Hdr

0MAC10000000X(CNK57C69A8261D6)

## Basic Hdr

E01MACV5PZZA000064277134

## Load User

SHSYSTEM

## Load Port

S608207N03VW07

## Proc Date

(NULL)

## Duration

N/A

## ACK Date

(NULL)

## File Name

06843455.TXT

## Memo

## Direction

From Swift

## Loc ID

N/A

## Loc SWIFT ID

N/A

## Purpose

N/A

## Curr Series

291302

## External ID

N/A

## User Hdr

{108:IS4191150FK000}

## App Hdr

05451245140429\*ARBFR\*P\*8000X3025244121404291145N

## Load Date

29-04-2014 06:48:14

## Proc User

N/A

## Proc Port

N/A

## Instruction Date

N/A

OATS ☐OATS Sent ☐

## Details (38)

Show Group

System Default

Index	Tag	Value
1	1 16R	GENL
2	2 20C	SEMSI/PG42808Y2A001
3	3 23G	NEWM
4	4 98C	PREP/20140429123906
5	5 16R	LINK
6	6 13A	LINK/341
7	7 20C	RELAT/E1000029136001
8	8 16S	LINK
9	9 16S	GENL
10	10 15R	TRADEP
11	11 98A	TRADN/20140423
12	12 98A	ESET/20140429
13	13 35B	ISIN DK0000000210
14	14 800	CAMPSTB/CASH/SENEY NORDEN A/S
15	15 18R	TRADEP
16	16 18R	FIAC
17	17 34B	ESTT/UNIT/325000
18	18 97A	SAFE/41329000010000778523F
19	19 97A	CASH/41329000010000724798K
20	20 94F	SAFE/CUST/NOADN00000
21	21 16S	FIAC
22	22 16R	SETDET
23	23 23F	SETPR/TRADE
24	24 16R	SETPRTY
25	25 85P	DEAG/ESSEDK00000
26	26 16S	SETPRTY
27	27 16R	SETPRTY
28	28 85P	SELL/PRVTBEB0000
29	29 97A	SAFE/8529511437E
30	30 16S	SETPRTY
31	31 16R	SETPRTY
32	32 85P	PSGT/VP0K0000000
33	33 16S	SETPRTY
34	34 16R	AMT
35	35 13A	ESTT/0000280798123
36	36 98A	VALU/20140429
37	37 16S	AMT ED&F-00076775
38	38 16S	SETDET

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## Account Equity

ED&F Man Capital Markets Ltd  
3 London Bridge Street  
London SE1 9SG  
United Kingdom

Account Number: CC:RIVERS-ASSOC  
Account Name : RIVERSIDE ASSOCIATES DEFINED BE  
Date : 24-04-2014  
Currency : USD

## Cash Summary

Cur Layer	Trade Date Amount	Conv Rate	TD Reporting Amt (USD)	Settle Date Amount	Conv Rate	SD Reporting Amt (USD)
DKK Cash	1,022,324,783.48 Dr	0.18535601	189,494,860.65 Dr	950,275,771.20 Dr	0.18535601	176,140,085.57 Dr
EUR Cash	62,554.56 Cr	1.38320000	86,525.47 Cr	62,554.56 Cr	1.38320000	86,525.47 Cr
EUR SEG CASH A	26,719.00 Cr	1.38320000	36,957.72 Cr	26,719.00 Cr	1.38320000	36,957.72 Cr
USD Cash	143,655,471.00 Dr	1.00000000	143,655,471.00 Dr	143,655,471.00 Dr	1.00000000	143,655,471.00 Dr
USD SEG CASH A	146,095.65 Cr	1.00000000	146,095.65 Cr	146,095.65 Cr	1.00000000	146,095.65 Cr
			332,380,752.81 Dr			319,525,977.73 Dr

## Trade Date Positions (Equity) (DKK)

Asset	Description	L	Position	Trd Price	Market Price	Original Value	Market Value	Unrealized G/L	Cur
DANSKE DC	DANSKE BANK A/S	C	2,000,000.00 Lg	144.2149	153.2000	288,429,840.00 Dr	306,400,000.00 Cr	17,970,160.00 Cr	DKK
DNORD DC	D/S NORDEN	C	322,500.00 Lg	223.4078	218.0000	72,049,012.28 Dr	70,305,000.00 Cr	1,744,012.28 Dr	DKK
NOVOB DC	NOVO NORDISK A/S-B	C	2,000,000.00 Lg	246.7031	241.6000	493,406,160.00 Dr	483,200,000.00 Cr	10,206,160.00 Dr	DKK
TDC DC	TDC A/S	C	2,150,000.00 Lg	52.4007	50.6000	112,661,419.00 Dr	108,790,000.00 Cr	3,871,419.00 Dr	DKK
TRYG DC	TRYG A/S	C	175,000.00 Lg	555.0069	510.0000	97,126,216.50 Dr	89,250,000.00 Cr	7,876,216.50 Dr	DKK
						Totals: 1,063,672,645.78 Dr	1,057,945,000.00 Cr	5,727,645.78 Dr	

## Trade Date Positions (Equity) (USD)

Asset	Description	L	Position	Trd Price	Market Price	Original Value	Market Value	Unrealized G/L	Cur
UN US	UNILEVER N V -NY SHARES	C	3,644,600.00 Lg	42.2374	41.6700	153,938,309.64 Dr	151,870,482.00 Cr	2,067,827.64 Dr	USD
						Totals: 153,938,309.64 Dr	151,870,482.00 Cr	2,067,827.64 Dr	

## Trade Date Positions (OTC-OPTIONS) (EUR)

Asset	Description	L	Position	Trd Price	Market Price	Original Value	Market Value	Unrealized G/L	Cur
SIE GY	SIEMENS AG- REG	C	774,000 Sh	95.8038		74,152.14 Cr	0.00 Cr	0.00 Cr	EUR
						Totals: 74,152.14 Cr	0.00 Cr	0.00 Cr	

## Pending Trades (DKK)

Trade Dt	Settl Dt	Type	Trn	Quantity	Asset	Trd Price	Proceeds	Cur
23-04-14	29-04-14	Normal	BUY	322,500.00	DNORD DC	223.4078	72,049,012.28 Dr	DKK



## Account Equity

ED&F Man Capital Markets Ltd  
3 London Bridge Street  
London SE1 9SG  
United Kingdom

Account Number: CC:RIVERS-ASSOC  
Account Name : RIVERSIDE ASSOCIATES DEFINED BE  
Date : 24-04-2014  
Currency : USD

## Equity Swaps

Tick Seq	Trade Dt	Term Dt	Asset Description	Quantity D	Open Price	Notional	Cur	Market Price	MTM Next Valuation	Reset	Rate Description	Rate	Accrued Financing
246968	14-04-14 16-04-14	23-12-14	TDC DC TDC A/S	2,150,000 S	49.4300	106,274,500	DKK	50.6000	-2,515,500		Fixed	0.0000	0.00
246841	14-04-14 16-04-14	23-12-14	NOVOB DC NOVO NORDISK A/S-B	2,000,000 S	227.8000	455,600,000	DKK	241.6000	-27,600,000		Fixed	0.0000	0.00
246995	14-04-14 16-04-14	23-12-14	TRYG DC TRYG A/S	175,000 S	506.5000	88,637,500	DKK	510.0000	-612,500		Fixed	0.0000	0.00
246927	14-04-14 16-04-14	23-12-14	DANSKE DC DANSKE BANK A/S	2,000,000 S	148.1000	296,200,000	DKK	153.2000	-10,200,000		Fixed	0.0000	0.00
247400	15-04-14 15-04-14	20-05-14	SIE GY SIEMENS AG- REG	774 L	95.8038	74,152	EUR	97.4900	1,305		Fixed	0.0000	0.00
203931	27-12-13 27-12-13	19-12-14	UN US UNILEVER N V -NY SHARES	2,200,000 S	39.4600	86,812,000	USD	41.6700	-4,862,000	19-05-14	Fixed	0.0000	0.00
203930	27-12-13 27-12-13	19-12-14	UN US UNILEVER N V -NY SHARES	1,444,600 S	39.4600	57,003,916	USD	41.6700	-3,192,566	19-05-14	Fixed	0.0000	0.00

## Account Summary

Item	Amount (USD)
Value of opening currency balance	319,381,913.78 Dr
Value of trades settling today	0.00 Cr
Value of Rec/Del today	0.00 Cr
Value of Deposits/Withdrawals today	144,063.95 Dr
Value of closing currency balance(s)	319,525,977.73 Dr
Cash Collateral Pending Settlement	0.00 Cr
Financed Cash Pending Settlement	0.00 Cr
NonFX Proceeds Pending Settlement	13,354,775.08 Dr
Trade Date Cash Balance	332,880,752.81 Dr
Market Value of Positions	347,967,792.35 Cr
Mkt Val of Unsettled Fin Positions	0.00 Cr
Mkt Val of Settled Fin Positions	0.00 Cr
Mkt Val of Unsettled Fin Collateral	0.00 Cr
Mkt Val of Settled Fin Collateral	0.00 Cr
Net Value of Financing Interest	0.00 Cr
Open Trade Equity on FX Deals	0.00 Cr
Accrued Interest on Fixed Income	0.00 Cr
Value of Open Swap Positions	15,639,044.29 Dr
Preliminary Account Value	552,004.75 Dr

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ED&amp;F-00076778



## Account Equity

ED&F Man Capital Markets Ltd  
 3 London Bridge Street  
 London SE1 9SG  
 United Kingdom

Account Number: CC:RIVERS-ASSOC  
 Account Name : RIVERSIDE ASSOCIATES DEFINED BE  
 Date : 24-04-2014  
 Currency : USD

## Margin Summary

Margin Req (Reg-T: Initial)	0.00 Cr
Margin Req (Reg-T: Maintenance)	0.00 Cr
Margin Req (Future Initial)	0.00 Cr
Margin Req (FOREX)	0.00 Cr
Margin Req (Minimum Equity)	0.00 Cr
Margin Req (Total)	0.00 Cr

Total Account Value 552,004.75 Dr

## Financing Summary

Unsettled Value of collateral at close	0.00 Cr
Unsettled Financing Valuation	0.00 Cr
Unsettled Financing Excess at close	0.00
Settled Value of collateral at close	0.00 Cr
Settled Financing Valuation	0.00 Cr
Settled Financing Excess at close	0.00
Total Financing Excess at close	0.00

## Missing Market Prices

Asset	Cur Product	Description
SIE GV	EUR OTC-OP	SIEMENS AG- REG